

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Andrew F. Silverman et al.

Group Art Unit: 3624

Serial No.: 09/680,771

Examiner: J Patel

Filed: October 6, 2000

For: ORDER CENTRIC TRACKING SYSTEM AND PROTOCOL FOR  
COMMUNICATIONS WITH HANDHELD TRADING UNITS

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, are made of record to assist the Patent and Trademark Office in its examination of this application. The references cited in the accompanying PTO-1449 form(s) have dates ("reference dates") that may be non-public release dates. Non-public release dates may include dates of creation, dates of revision, dates of pre-lease revisions, dates of revisions released to those subject to non-disclosure agreements, dates of communication that are internal to an organization, and/or the like. These non-public release dates may merely adorn the cited references, which, in actuality, may have been released to the public at subsequent and indeterminate dates. As such, the reference dates are not admitted to be actual publication dates. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1.  For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:

2.  For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.

3.  Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in application Serial No. \_\_\_\_\_ filed \_\_\_\_.

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4.  No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:

- 37 C.F.R. §1.97(b)(1), within three months of the filing date of a national application other than a CPA; or
- 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application; or
- 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits; or
- 37 C.F.R. §1.97(b)(4) before the mailing date of a first office action after the filing of an RCE under §1.114.

5.  No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.

6.  A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):

- A check in the amount of \$180.00 is enclosed in payment of the fee.
- Charge the fee to Deposit Account No.03-1240, Order No. \_\_\_\_\_.

7.  A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:

- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
- b. the fee due under 37 C.F.R. §1.17(p) which is paid as set forth in paragraph 11 below.

8.  This Information Disclosure Statement is being filed in compliance with:

- a.  37 C.F.R. §1.313(b)(3) or §1.313(c)(1), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h);
- b.  37 C.F.R. §1.313(c)(2) or §1.313(c)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Request for Continued Examination (RCE) or a Continuation application

upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h).

c.  The fee due under 37 C.F.R. §§1.17(h) is paid as set forth in paragraph 11 below.

9.  I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

10.  This document is accompanied by  a Search Report  Communication which was cited in a corresponding  PCT or  Foreign counterpart application

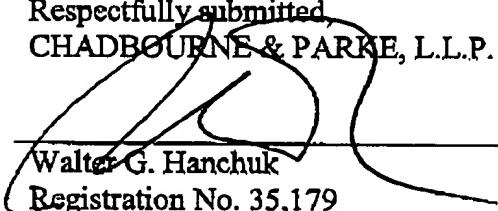
11.  A check in the amount of \$ \_\_\_\_\_ is enclosed in payment of the fees due under 37 C.F.R. §§1.17(h) and 1.17(p).

Charge the fees due under 37 C.F.R. §§1.17(h) and 1.17(p) to Deposit Account No.03-1240, Order No. \_\_\_\_\_. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 03-1240, Order No.17209-009.

Respectfully submitted  
CHADBOURNE & PARKE, L.L.P.

By:

  
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Dated: October 12, 2005

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## FORM PTO-1449

## INFORMATION DISCLOSURE CITATION

Attorney Docket:  
17209-009Serial No.:  
09/680,771Applicant:  
Silverman et al.Filing Date:  
October 6, 2000Group Art Unit:  
3624

## U.S. PATENT DOCUMENTS

Examiner Initial		Patent Number	Issue Date	Name	Class	Sub-Class	Filing Date
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Examiner Initial		Patent Number	Publication Date	Country	Class	Sub-Class	Translation
		0 448 800	Dec, 1990	EP			<input type="checkbox"/> Yes <input type="checkbox"/> No
		95/26005	Sep, 1995	PCT			<input type="checkbox"/> Yes <input type="checkbox"/> No
		96/41293	Dec, 1996	PCT			<input type="checkbox"/> Yes <input type="checkbox"/> No
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Examiner \_\_\_\_\_ Date Considered \_\_\_\_\_

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609.  
Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to Applicant.

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						<input type="checkbox"/> Yes <input type="checkbox"/> No

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<b>FORM PTO-1449</b> <b>INFORMATION DISCLOSURE CITATION</b>		Attorney Docket: 17209-009	Serial No.: 09/680,771
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<b>U.S. PATENT DOCUMENTS</b>			
Examiner Initial	Patent Number	Issue Date	Name
	5561446	Oct, 1996	Montlick.
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	Currie, W. Scott, "The ISO Link Layer and Above", LANs Explained: A Guide to Local Area Networks, Ellis Horwood Limited, England, 1989, Ch. 11.		
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**U.S. PATENT DOCUMENTS**

Examiner Initial	Patent Number	Issue Date	Name	Class	Sub-Class	Filing Date
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Examiner Initial	Patent Number	Publication Date	Country	Class	Sub-Class	Translation
						<input type="checkbox"/> Yes <input type="checkbox"/> No
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Examiner	Date Considered
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		5880726	Mar, 1999	Yokoyama et al.			
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<b>FOREIGN PATENT DOCUMENTS</b>							
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							<input type="checkbox"/> Yes <input type="checkbox"/> No
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Examiner				Date Considered			
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Examiner Initial		Patent Number	Issue Date	Name	Class	Sub-Class	Filing Date
		4674044	Jun., 1987	Kalmus et al.			
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<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initial		Patent Number	Publication Date	Country	Class	Sub-Class	Translation
							<input type="checkbox"/> Yes <input type="checkbox"/> No
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Examiner Initial		Patent Number	Issue Date	Name	Class	Sub-Class	Filing Date
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<b>FOREIGN PATENT DOCUMENTS</b>							
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							<input type="checkbox"/> Yes <input type="checkbox"/> No
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<b>OTHER DOCUMENTS (Including Author, Title, Date, etc.)</b>							
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<b>FORM PTO-1449</b> <b>INFORMATION DISCLOSURE CITATION</b>			Attorney Docket: 17209-009	Serial No.: 09/680,771			
			Applicant: Silverman et al.	Filing Date: October 6, 2000	Group Art Unit: 3624		
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initial		Patent Number	Issue Date	Name	Class	Sub-Class	Filing Date
<b>FOREIGN PATENT DOCUMENTS</b>							
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<b>OTHER DOCUMENTS (Including Author, Title, Date, etc.)</b>							
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<b>OTHER DOCUMENTS (Including Author, Title, Date, etc.)</b>							
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